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PATENT
ATTORNEY DOCKET NO.: 049796-5001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

David R. SCHWARTZ

Application No.: 09/925,558

Filed: August 10, 2001

For: **A METHOD AND SYSTEM FOR
DYNAMIC RISK ASSESSMENT,
RISK MONITORING, AND
CASELOAD MANAGEMENT**

Group Art Unit: 2152

Examiner: Unassigned

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Commissioner for Patents
Washington, D.C. 20231

Sir:

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(b), Applicant brings to the attention of the Examiner the documents listed on the attached PTO Form 1449.

To the best of the undersigned's knowledge, this Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits for the above-referenced application and no fees are believed to be necessary.

Copies of the listed documents are attached. Applicant respectfully requests that the Examiner consider the listed documents and evidence that consideration by making appropriate notations on the attached PTO Form 1449.

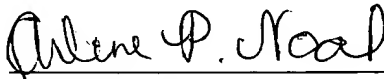
The references included in this Information Disclosure Statement were cited in the corresponding PCT Application. A copy of the search report from the International Searching Authority (dated September 27, 2002) citing these documents and setting forth the relevance thereof is enclosed.

This submission does not represent that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "Prior Art." If it should be determined that any of the listed documents do not constitute "Prior Art" under United States law, Applicant reserves the right to present to the Office the relevant facts and law regarding the appropriate status of such documents. Applicant further reserves the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

If there is any fee due in connection with the filing of this Statement, please charge the fee to our Deposit Account No. 50-0310.

Respectfully submitted,

MORGAN, LEWIS & BOCKIUS LLP

By: 
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Dated: January 9, 2003

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INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

PTO Form 1449

Page 1 of 1

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049796-5001

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09/925,558

Applicants:

David R. SCHWARTZ

Filing Date:

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U.S. PATENT DOCUMENTS

*Examiner Initial	Document Number	Date	Name	Class	Sub Class	Filing Date
	5,471,382	Nov. 28, 1995	Tallman et al.	364	406	Jan. 10, 1994
	5,964,700	Oct. 12, 1999	Tallman et al.	600	300	Oct. 10, 1997
	5,764,923	Jun. 9, 1998	Tallman et al.	203		Nov. 22, 1995

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FOREIGN PATENT DOCUMENTS

Document Number	Date	Country	Class	Sub Class	Translation YES NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	Christof Ebert, "Experiences with Criticality Predictions in Software Development", Proceeding of the 6th European conference held jointly with the 5th ACM SIGSOFT symposium on software engineering, pp. 278-293, 1997.

Examiner

Date Considered

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.